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JCS25 U.S. PTO

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PTO/SB/05 (11-00)

Approved for use through 10/31/2002. OMB 0651-0032

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.	GS 149
First Inventor	Fwu-Iuan Hsieh et al.
Title	METHOD OF FORMING NARROW TRENCHES IN
Express Mail Label No.	ET477939696US

11/02/01  
S-PTO  
1017-U.S.

11/02/01

**APPLICATION ELEMENTS**

See MPEP chapter 600 concerning utility patent application contents.

<p>1. <input checked="" type="checkbox"/> Fee Transmittal Form (e.g., PTO/SB/17) (Submit an original, and a duplicate for fee processing)</p> <p>2. <input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27.</p> <p>3. <input checked="" type="checkbox"/> Specification [Total Pages <b>14</b>] (preferred arrangement set forth below)           <ul style="list-style-type: none"> <li>- Descriptive title of the invention</li> <li>- Cross Reference to Related Applications</li> <li>- Statement Regarding Fed sponsored R &amp; D</li> <li>- Reference to sequence listing, a table, or a computer program listing appendix</li> <li>- Background of the Invention</li> <li>- Brief Summary of the Invention</li> <li>- Brief Description of the Drawings (if filed)</li> <li>- Detailed Description</li> <li>- Claim(s)</li> <li>- Abstract of the Disclosure</li> </ul> </p> <p>4. <input checked="" type="checkbox"/> Drawing(s) (35 U.S.C. 113) [Total Sheets <b>6</b>]</p> <p>5. Oath or Declaration [Total Pages <b>3</b>]           <ul style="list-style-type: none"> <li>a. <input checked="" type="checkbox"/> Newly executed (original or copy)</li> <li>b. <input type="checkbox"/> Copy from a prior application (37 CFR 1.63(d)) (for continuation/divisional with Box 18 completed)               <ul style="list-style-type: none"> <li>i. <input type="checkbox"/> <b>DELETION OF INVENTOR(S)</b> Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).</li> </ul> </li> </ul> </p> <p>6. <input type="checkbox"/> Application Data Sheet. See 37 CFR 1.76</p>	<p>7. <input type="checkbox"/> CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)</p> <p>8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)           <ul style="list-style-type: none"> <li>a. <input type="checkbox"/> Computer Readable Form (CRF)</li> <li>b. Specification Sequence Listing on:               <ul style="list-style-type: none"> <li>i. <input type="checkbox"/> CD-ROM or CD-R (2 copies); or</li> <li>ii. <input type="checkbox"/> paper</li> </ul> </li> <li>c. <input type="checkbox"/> Statements verifying identity of above copies</li> </ul> </p>
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**ACCOMPANYING APPLICATION PARTS**

<p>9. <input checked="" type="checkbox"/> Assignment Papers (cover sheet &amp; document(s))</p> <p>10. <input type="checkbox"/> 37 CFR 3.73(b) Statement (when there is an assignee) <input checked="" type="checkbox"/> Power of Attorney</p> <p>11. <input type="checkbox"/> English Translation Document (if applicable)</p> <p>12. <input checked="" type="checkbox"/> Information Disclosure Statement (IDS)/PTO-1449 <input checked="" type="checkbox"/> Copies of IDS Citations</p> <p>13. <input type="checkbox"/> Preliminary Amendment</p> <p>14. <input checked="" type="checkbox"/> Return Receipt Postcard (MPEP 503) (Should be specifically itemized)</p> <p>15. <input type="checkbox"/> Certified Copy of Priority Document(s) (if foreign priority is claimed)</p> <p>16. <input type="checkbox"/> Request and Certification under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.</p>	<p>17. <input type="checkbox"/> Other:</p>
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18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

 Continuation     Divisional     Continuation-in-part (CIP) of prior application No.: \_\_\_\_\_ / \_\_\_\_\_

Prior application information: Examiner \_\_\_\_\_

Group / Art Unit \_\_\_\_\_

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

**19. CORRESPONDENCE ADDRESS**

<input checked="" type="checkbox"/> Customer Number or Bar Code Label	27774	or	<input type="checkbox"/> Correspondence address below  (Insert Customer No. or Attach bar code label here)
Name			
Address			
City	State	Zip Code	
Country	Telephone		Fax

Name (Print/Type) **Karin L. Williams**

Registration No. (Attorney/Agent)

36,721

Signature Date **11/20/01**

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box

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# FEE TRANSMITTAL for FY 2002

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT

\$798.00

## Complete if Known

Application Number	Unassigned
Filing Date	Filed Herewith
First Named Inventor	Fwu-Iuan Hsieh et al.
Examiner Name	Unassigned
Group Art Unit	Unassigned
Attorney Docket No.	GS 149

## METHOD OF PAYMENT

1.  The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number **Mayer Fortkort & Williams, PC**

Deposit Account Name **50-1047**

Charge Any Additional Fee Required Under 37 CFR §§ 1.16 and 1.17

Applicant claims small entity status. See 37 CFR § 1.27

2.  Payment Enclosed:

Check  Credit card  Money Order  Other

## FEE CALCULATION (continued)

## 3. ADDITIONAL FEES

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
105	130	205 65 Surcharge - late filing fee or oath	
127	50	227 25 Surcharge - late provisional filing fee or cover sheet	
139	130	139 130 Non - English specification	
147	2,520	147 2,520 For filing a request for ex parte reexamination	
112	920*	112 920* Requesting publication of SIR prior to Examiner action	
113	1,840*	113 1,840* Requesting publication of SIR after Examiner action	
115	110	215 55 Extension for reply within first month	
116	400	216 200 Extension for reply within second month	
117	920	217 460 Extension for reply within third month	
118	1,440	218 720 Extension for reply within fourth month	
128	1,960	228 980 Extension for reply within fifth month	
119	320	219 160 Notice of Appeal	
120	320	220 160 Filing a brief in support of an appeal	
121	280	221 140 Request for oral hearing	
138	1,510	138 1,510 Petition to institute a public use proceeding	
140	110	240 55 Petition to revive - unavoidable	
141	1,280	241 640 Petition to revive - unintentional	
142	1,280	242 640 Utility issue fee (or reissue)	
143	460	243 230 Design issue fee	
144	620	244 310 Plant issue fee	
122	130	122 130 Petitions to the Commissioner	
123	50	123 50 Processing fee under 37 CFR § 1.17(q)	
126	180	126 180 Submission of Information Disclosure Statement	
581	40	581 40 Recording each patent assignment per property (times number of properties)	40.00
146	740	246 370 Filing a submission after final rejection (37 CFR § 1.129(a))	
149	740	249 370 For each additional invention to be examined (37 CFR § 1.129(b))	
179	740	279 370 Request for Continued Examination (RCE)	
169	900	169 900 Request for expedited examination of a design application	
Other fee (specify) _____			

## FEE CALCULATION

## 1. BASIC FILING FEE

Large Entity Small Entity

Fee Code (\$)	Fee Code (\$)	Fee Description	Fee Paid
101	740	201 370 Utility filing fee	740.00
106	330	206 165 Design filing fee	
107	510	207 255 Plant filing fee	
108	740	208 370 Reissue filing fee	
114	160	214 80 Provisional filing fee	
SUBTOTAL (1) <b>\$740.00</b>			

## 2. EXTRA CLAIM FEES

Extra Claims	Fee from below	Fee Paid
Total Claims <b>21</b> -20** = <b>1</b> X <b>18.00</b> = <b>18.00</b>		
Independent Claims <b>2</b> - 3** = <b>0</b> X <b>84.00</b> = <b>0.00</b>		
Multiple Dependent		

Large Entity Small Entity

Fee Code (\$)	Fee Code (\$)	Fee Description
103	18	203 9 Claims in excess of 20
102	84	202 42 Independent claims in excess of 3
104	280	204 140 Multiple dependent claim, if not paid
109	84	209 42 ** Reissue independent claims over original patent
110	18	210 9 ** Reissue claims in excess of 20 and over original patent
SUBTOTAL (2) <b>\$18.00</b>		

\*\*or number previously paid, if greater. For Reissues, see above

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3)

**\$40.00**

## SUBMITTED BY

Name (Print/Type)	Karin L. Williams	Registration No. (Attorney/Agent)	36,721	Telephone	908-518-7700
Signature	<i>Karin L. Williams</i>		Date	11/20/01	

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John A. Fortkort <sup>\*¶</sup>

<sup>‡</sup> admitted in Maryland  
<sup>¶</sup> admitted in Minnesota  
<sup>\*</sup> admitted in New Jersey  
<sup>§§</sup> admitted in New York  
<sup>‡</sup> admitted in Pennsylvania  
<sup>†</sup> admitted in Virginia  
<sup>§</sup> admitted in Washington, D.C.

November 20, 2001

Assistant Commissioner for Patents  
Box Filing Date  
Washington, DC 20231

Dear Sir:

Re: New U.S. Patent Application  
Inventor: Fwu-Juan Hshieh et al.  
Filed: Herewith  
Title: METHOD OF FORMING NARROW TRENCHES IN  
SEMICONDUCTOR SUBSTRATES  
Docket: GS 149

I hereby declare that I attempted to deposit the above-referenced new U.S. Patent Application with the United States Postal Service (USPS, Westfield, New Jersey) as Express Mail under 37 CFR 1.10 on November 20, 2001, and the USPS refused to accept this correspondence due to the recent emergency.

Per the instructions provided by the US PTO website ([www.uspto.gov/september11/uspsmaildisrup.htm](http://www.uspto.gov/september11/uspsmaildisrup.htm)), the above-referenced application has been re-deposited with the USPS on November 20, 2001 as first class mail, in an envelope addressed to: Assistant Commissioner for Patents, BOX FILING DATE, Washington, DC 20231.

A November 20, 2001 filing date is respectfully requested.

Yours truly,  
MAYER FORTKORT & WILLIAMS, PC  
*Marjorie Scariati*  
Marjorie Scariati  
Patent Paralegal

Enclosure

**CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)**

Docket No.

GS 149

Applicant(s): Fwu-Iuan Hsieh et al.

Serial No.  
UnassignedFiling Date  
Filed HerewithExaminer  
UnassignedGroup Art Unit  
UnassignedInvention: **METHOD OF FORMING NARROW TRENCHES IN SEMICONDUCTOR SUBSTRATES**I hereby certify that this New U.S. Patent Application

(Identify type of correspondence)

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under

37 CFR 1.10 in an envelope addressed to: The Assistant Commissioner for Patents, Washington, D.C. 20231 on

11/20/01

(Date)

Marjorie Scariati

(Typed or Printed Name of Person Mailing Correspondence)

Marjorie Scariati  
(Signature of Person Mailing Correspondence)ET47793969US

("Express Mail" Mailing Label Number)

Note: Each paper must have its own certificate of mailing.

**TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT  
(Under 37 CFR 1.97(b) or 1.97(c))**

Docket No.  
GS 149

J1017 U.S.  
10/010162

11/20/01

In Re Application: **Fwu-Juan Hsieh et al.**

Serial No.  
Unassigned

Filing Date  
Filed Herewith

Examiner  
Unassigned

Group Art  
Unassigned

**METHOD OF FORMING NARROW TRENCHES IN SEMICONDUCTOR SUBSTRATES**

**Payment of Fee**

(Only complete if Applicant elects to pay the fee set forth in 37 CFR 1.17(p))

A check in the amount of \_\_\_\_\_ is attached.  
 The Assistant Commissioner is hereby authorized to charge and credit Deposit Account No. \_\_\_\_\_ as described below. A duplicate copy of this sheet is enclosed.  
 Charge the amount of \_\_\_\_\_  
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 Charge any additional fee required.

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I certify that this document and authorization to charge deposit account is being facsimile transmitted to the United States Patent and Trademark Office (F

(Date)

*Signature*

*Typed or Printed Name of Person Signing Certificate*

*Express*  
**Certificate of Mailing by First Class Mail**

I certify that this document and fee is being deposited *11/20/01* with the U.S. Postal Service as ~~first class~~ mail under 37 C.F.R. *1.8*, and is addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

*Marjorie Scariati*

*Signature of Person Mailing Correspondence*

Marjorie Scariati

*Typed or Printed Name of Person Mailing Certificate*

\*This certificate may only be used if paying by deposit account.

*Karin L. Williams*  
Signature

Karin L. Williams Reg. No. 36,721

Mayer Fortkort & Williams, PC  
251 North Avenue West, 2nd Floor  
Westfield, NJ 07090

Tel: 908-518-7700  
Fax: 908-518-7795

Dated: *11/20/01*

CC:

*HJ 213-02*

**TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT**  
**(Under 37 CFR 1.97(b) or 1.97(c))**

Docket No.  
GS 149

In Re Application Of: **Fwu-Iuan Hsieh et al.**

U.S. PTO  
10/01/62  
11/20/01

Serial No.

Unassigned

Filing Date

Filed Herewith

Examiner

Unassigned

Group Art Unit

Unassigned

Title: **METHOD OF FORMING NARROW TRENCHES IN SEMICONDUCTOR SUBSTRATES**

Address to:

Assistant Commissioner for Patents  
Washington, D.C. 20231

**37 CFR 1.97(b)**

1.  The Information Disclosure Statement submitted herewith is being filed within three months of the filing of a national application other than a continued prosecution application under 37 CFR 1.53(d); within three months of the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; before the mailing of a first Office Action on the merits, or before the mailing of a first Office Action after the filing of a request for continued examination under 37 CFR 1.114.

**37 CFR 1.97(c)**

2.  The Information Disclosure Statement submitted herewith is being filed after the period specified in 37 CFR 1.97(b), provided that the Information Disclosure Statement is filed before the mailing date of a Final Action under 37 CFR 1.113, a Notice of Allowance under 37 CFR 1.311, or an Action that otherwise closes prosecution in the application, and is accompanied by one of:

the statement specified in 37 CFR 1.97(e);

**OR**

the fee set forth in 37 CFR 1.17(p).